Lesson 13: Adjustment in Force

Duration: 90 minutes

Lesson 13 Topics

- Topic 1 –Appropriate Use for AIF Procedures
- Topic 2 – Competitive Areas for AIF Competition Purposes
- Topic 3 – AIF Retention Factors
- Topic 4 – Furloughs and Transfer of Function
- Topic 5 – AIF Appeals Process
- Topic 6 – Outplacement Assistance Available to Defense Intelligence Employees
- Topic 7 – Retention Register Exercise

Appropriate Use for AIF Procedures

- AIF Avoidance Strategies
- Situations Requiring the Use of Competitive AIF Procedures
- USD(I) Notification
- Employee Notification

Competitive Areas for AIF Competition Purposes

One of the key components for AIF planning is the establishment of competitive areas

AIF Retention Factors

Retention registers are used in AIF to document each employee's retention standing.

An employee's retention standing is based on a combination of:

- Tenure
- Veterans' Preference
- Performance
- Length of Creditable Service

Tenure Groups

There are three tenure groups in DCIPS:

- Tenure Group I - Permanent employees not currently serving a trial period
- Tenure Group II - Employees in permanent appointments currently serving a trial period
- Tenure Group III - All employees serving on non-permanent appointments of any kind that are more than 1 year in duration, or result in continuous employment for more than 1 year

Note: For the purposes of AIF competition, Tenure Groups I and II are combined into Tenure Group I

Veterans' Preference

Subgroups for AIF purposes:

- Subgroup AD includes veterans who are eligible for veterans' preference and who have a compensable service-connected disability of 30 percent or more
- Subgroup A includes veterans eligible for veterans' preference who are not eligible for Subgroup AD (including eligible spouses, widows or widowers, and mothers of veterans)
- Subgroup B includes nonveterans and others not eligible for veterans' preference in Subgroups AD and A

NOTE: Not all veterans get veterans' preference for AIF. Confirm a veteran's status using official documentation if questions arise.

Employee Performance Score

- How is an employee's performance score determined?
- What happens if there are less than three DCIPS Performance Evaluations of Record and there are no other Evaluations of Record available to convert to DCIPS ratings?
- What about employees who have no Evaluations of Record for the 4-year period?

Creditable Service

All creditable Federal and military service as defined by Section 351.503 of Title 5, Code of Federal Regulations, will be included. Credit for military service will be computed in accordance with section 3502(a) of Title 5, United States Code.

Additional Retention Factors—'Tiebreakers'

Additional tiebreaking procedures may be used by Components to determine an employees' final retention standing as long as the workforce is notified of the measures in advance of a planned AIF

Displacement

- Research your assigned topic on Displacement:
  - Displacement
  - Order of displacement and release
  - Postponement of release
- Refer to the WYSK box *Displacement, Order of Displacement and Release, and Exceptions to Order of Release* on pages 13-19_13-21 of the Participant Guide.
- Record notes on the worksheet on page 13-22.

Position Offers

Once a position is offered to an employee, the employee is entitled to that specific offer

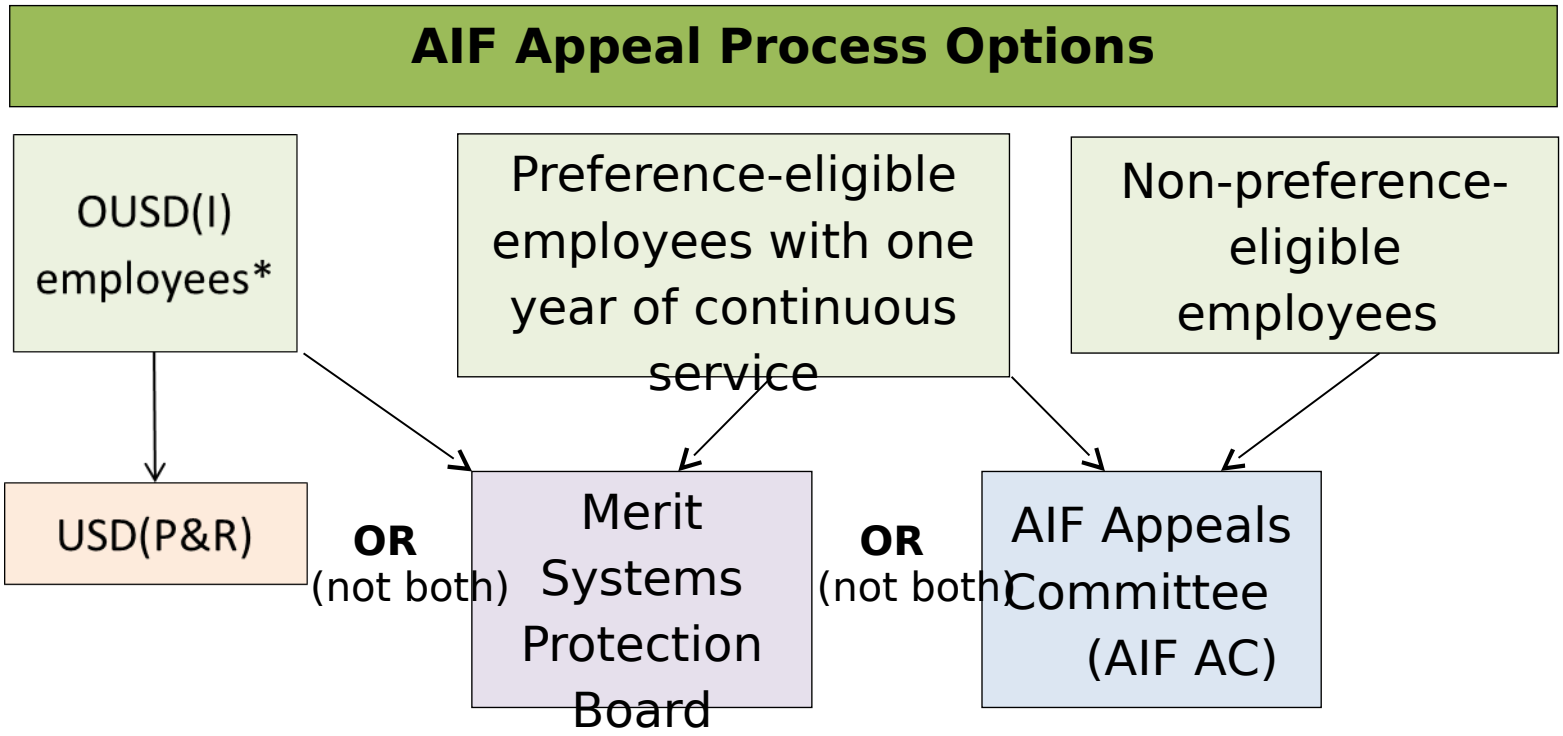
Furloughs

Competitive AIF procedures are used for furloughs for more than 30 consecutive days or more than 22 cumulative workdays

Transfer of Function (TOF)

A “transfer of function” (TOF) occurs when work is moved from one competitive area to another (where that work is not currently being done), or when an entire competitive area is moved to a new local commuting area

AIF Appeals Process



*OUSD(I) employees do not use the AIF AC. Rather, they use USD(P&R). If eligible, they may also use the MSPB.

Outplacement Assistance

Outplacement Services:

- DoD Priority Placement Program
- Administrative Referral Assistance
- Severance Pay

DCIPS Retention Program (DRP)

Program Goals

- ✓ Match employees pending separation by AIF with available Defense Intelligence positions for which they are qualified
- ✓ Provide preference to affected employees over candidates external to a Component
- ✓ Establish a common, repeatable process across Components

DRP Basics

- DRP Open Period is at least 60 calendar days; start date is tied to issuance of AIF Specific Notice and the Open Period closes the day after AIF Effective Date
- Components choose preferred method for preliminary match decision: Component review or DCIPS PEO review
- DRP Registrants may elect to opt-out of consideration by specific Components in their registration package, but registration in the program is mandatory
- Components are required to take a DRP Registrant for an available position if he/she is qualified
- DRP is supplemental to the Department's PPP

Roles and Responsibilities

Role	Responsibility
DCIPS PEO	Responsible for central oversight of the DRP for the Defense Intelligence Enterprise, and analyzing, retaining and distributing DRP data and analysis, as applicable.
AIFing Component	Issues AIF notices to employees, provides counseling to DRP Registrants, and coordinates with DCIPS PEO and DCIPS Components throughout the DRP.
DCIPS Components	Responsible for considering employees affected by AIF for available Defense Intelligence positions. For purposes of the DRP, this includes all Components, including the AIFing Component(s).
DRP Liaison	Responsible for managing the DRP program requirements and providing internal guidance on process. Carries out liaison functions for their Component and with DCIPS PEO to ensure proper and timely flow of information between the Component and the DCIPS PEO. May lead a team of DRP counselors or others responsible for supporting employee understanding of the DRP.
DRP Counselor	Role within the AIFing Component responsible for leading informing potential DRP Registrants of the program and counseling DRP Registrants of the impact on decisions to opt-out of certain Component consideration, accepting or declining offers through the program, impact on severance pay and benefits, and much more. *Note: This role may or may not be fulfilled by the same person as the DRP Liaison and/or the AIF Counselor.*

Use the DRP Guidance for Detailed Guidance

- Guidance Signed 5 March 2013
- Includes 5 Phase Process and All Required Steps
- Outlines Roles and Responsibilities
- Contains DRP Registration Package

Mock AIF Example

- The scenario:
  - Due to Congressional budget cuts, all positions in a defined competitive area supporting **Mission B** are scheduled to be abolished
  - Following Volume 2004 guidelines, the Component has identified the competitive area as:
    - Local Commuting Area 1234903
    - Organizational Code GC 24
    - Professional Work Category A

- Your task:
  - Follow AIF procedures from Volume 2004 to determine which positions will be abolished, as well as which employees will be impacted and how

What steps do you need to take?

1. Identify on the retention register which positions will be eliminated based on the competitive area, which has been announced by the Component.
2. Analyze the positions identified for abolishment starting with the one currently filled by the employee with the highest retention standing.
3. Review his/her resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if that employee should be offered another position or released and document on the retention register. Start at the bottom of the retention register and work up to determine the best offer.
4. Determine if there is an impact on another employee. If so, review the employee's resume and all remaining positions encumbered by employees with lower retention standing to determine if the displaced employee should be offered another position or released. Again, start at the bottom of the retention register and work up.
5. Repeat this process until the number of abolished positions equals the number of originally announced abolished positions.
6. Check your work to ensure Volume 2004 policy was followed.

Assumptions

- The retention register used in this exercise is a snapshot of a typical retention register and is used for example purposes only. An actual retention register has more columns and information
- The employee data in this sample retention register is fictitious. For the purposes of this exercise, it can be assumed that the retention register was produced by a Component's HR information system
- Since the full resumes of the employees in the retention register are not available for this basic exercise, a table of resume highlights is provided to demonstrate past experience for the employees in the retention register
- For the purpose of the exercise:
  - Accounting positions have a positive education requirement
  - Professional work category positions are 2-grade interval positions

Resume Highlights

Use this page as a reference throughout the exercise.

Employee Name	Past Experience
Franklin	• Intelligence Analyst (8 years) • Intelligence Analyst for US Navy (2 years) • Information Technology Specialist for US Navy (8 years)
Tim	• Intelligence Analyst (15 years) • Management Analyst (8 years) • Budget Analyst (3 years)
Bill	• Intelligence Analyst (29 years) • High school AP World History teacher (5 years)
Sela	• Information Technology Specialist (11 years) • Intelligence Analyst (6 years)
Michelle	• Budget Analyst (16 years) • Intern at private federal consulting firm (1 year)
Kendra	• Accountant (2 years) • CPA at private accounting firm (6 months) • (Accounting degree)
Allison	• Intelligence Analyst (1 year) • Researcher at public policy think tank (3 years) • Intelligence Analyst for US Army (4 years)

Retention Register

Use this page to document your answers.

		Note: General Rules in an AIF apply and requires that Volume 2004 be reviewed in its entirety when reviewing the Retention Register and making displacement determinations.																	
															Retention Factors				
		Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for add'l civ/mil time)
		1	Franklin	GG	132	13	Intelligence Analyst	N	A	3	A	GC-24	1234903	F	I	Y	A	4.2	03/14/05
		2	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
		3	Bill	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.6	07/03/84
		4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
		5	Mitchell	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.3	06/04/92
		6	Lee	GG	0510	12	Accounta	N	A	2	A	GC-24	1234903	F	I	N	B	3.3	02/11/1

Step 1a

- Applying the rules of AIF within the competitive area, identify on the retention register which positions will be eliminated within the competitive area

DCIPS
DEFENSE CIVILIAN INTELLIGENCE PERSONNEL SYSTEM

Step 1a

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
1	Frankl				ce					GC-							03/14/1
2	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
3	Bill	GG	132	11	ce Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.6	07/03/84
4	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
5	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234903	F	I	N	B	3.2	02/11/02
7	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	B	3.2	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answer: Positions 2,4,7,8

Step 1b

- Once the positions to be abolished have been identified on the retention register, are there any positions that can be abolished immediately? If yes, why?

Step 1b

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
1	**Tim**	**GG**	**132**	**11**	**Intelligence Analyst**	**N**	**B**	**2**	**A**	**GC-24**	**1234903**	**F**	**I**	**N**	**B**	**4.1**	**11/10/87**
2	Ti[illegible]	GG	132	13	e Analyst	N	A	3	A	24	1234903	F	I	Y	A	4.2	03/14/05
3					Intelligenc					GC-							
4	**Sela**	**GG**	**2210**	**9**	**Information Technology Specialist**	**N**	**B**	**1**	**A**	**GC-24**	**1234903**	**F**	**I**	**N**	**B**	**3.5**	**08/09/96**
5	Sela	GG	2210	9	Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3	08/09/96
6	X **Allison**	**GG**	**132**	**7**	**Intelligence Analyst**	**N**	**B**	**1**	**A**	**GC-24**	**1234903**	**F**	**III**	**N**	**AD**	**3.2**	**04/17/12**
7	X **Vacant**	**GG**	**132**	**9**	**Intelligence Analyst**	**N**	**B**	**1**	**A**	**GC-24**	**1234903**	**F**	**NA**	**NA**	**NA**	**NA**	**NA**
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answ
position that must be abolished (Mission B) and since it is vacant, there is no need to consider it further.

We can also quickly decide to separate Allison, even though she is AD, because she is tenure group III. As such, we can separate her before even beginning AIF proceedings following guidance in Volume 2005, or we can include her in the AIF with the lowest retention standing.

Step 2

- Analyze the remaining positions identified for abolishment, starting with the one currently filled by the employee with the highest retention standing

Step 2

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
					Intelligence					GC-							11/10/8
1	Tim	GG	132	11	Analyst	N	B	2	A	24	1234903	F	I	N	B	4.1	7
					Intelligenc					GC-							
2																	
3	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
					Technology					GC-							
4																	
5	X Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
6	X Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
7	Answers																
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Step 3

- Review Tim’s resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if he should be offered another position or released

Step 3

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
1	~~Tim~~ Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
2	~~Tim~~				Intelligenc					GC-							
3	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
4					Technology					GC-							
5	X Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
6	X Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
7	Allison	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answer: The best option is for Tim to move into the position Bill currently occupies. It is at his current grade and in his current line of work.

Step 4

- Since Bill is impacted and he's the next highest on the retention register, review Bill's resume next and all remaining positions encumbered by employees with lower retention standing to determine if he should be offered another position or released

Step 4

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
	~~Tim~~	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
1	n X	GG	132	13	e Analyst	N	A	3	A	24	1234903	F	I	Y	A	4.2	03/14/05
2																	
3	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
					n Technolog y												
4										GC-							
5	Allison X	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
6	Vacant X	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
7	Allison	GG	132	7	e Analyst	N	B	1	A	24	1234903	F	III	Y	AD	3	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

nswer: Bill will be separated by AIF

Step 5

- Repeat this process until the number of abolished positions equals the number of originally announced abolished positions

Step 5

													Retention Factors				
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preferen	Performance Rating (avg last	AIF SCD (adj for add'l civ/mil time)
1	~~Tim~~ X	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
2					Information Technology Specialist												
3	X																
4	Sela	GG	2210	9		N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
5	Allison X	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
6	Vacant X	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
7	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	Y	AD	3	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Step 6

- Check your work to ensure Volume 2004 policy was followed

Step 6

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors: Tenure	Retention Factors: Veterans' Preference Y/N	Retention Factors: Sub-group for Veterans' Preferen	Retention Factors: Performance Rating (avg last	Retention Factors: AIF SCD (adj for add'l civ/mil time)
					Intelligence Analyst					GC-24	1234903						11/10/87
1	~~Tim~~ X	GG	132	13	e Analyst	N	A	3	A	24	1234903	F	I	Y	A	4.2	03/14/05
2																	
3	X Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
					n Technolog y					GC-							
4	X				Intelligence												
5	Allison	GG	132	7	Analyst	N	B	1	A	GC-24	1234903	F	III	N	AD	3.2	04/17/12
6	X Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA
7	Allison	GG	132	7	e Analyst	N	B	1	A	24	1234903	F	III	Y	AD	3	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answer: Review the retention register to ensure volume 2004 policy and procedures were followed; ensure the final actions match the abolishment of the identified positions (Mission B- positions 2,4,7, and 8) with the same number of employees (4- Bill, Sela, Allison, and 1 vacancy)

Retention Register Exercise Discussion

- What happens if an employee wants to appeal the AIF decision?
- How is the retention register created and who owns/updates it?
- How do Components determine what positions to offer individuals based on their retention standing?
- How is pay affected when an employee is displaced to a different position due to AIF?
- How are employees in special situations (Joint Duty Assignment, Long Term Training, Leave Without Pay (LWOP), Military LWOP, etc.) handled?
- What kind of outplacement assistance exists for those who are separated through an AIF?

Lesson 13 Review

- Topic 1 –Appropriate Use for AIF Procedures
- Topic 2 – Competitive Areas for AIF Competition Purposes
- Topic 3 – AIF Retention Factors
- Topic 4 – Furloughs and Transfer of Function
- Topic 5 – AIF Appeals Process
- Topic 6 – Outplacement Assistance Available to Employees
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